

1751-396

U.S. Application No. (if known)

10/565,834

INTERNATIONAL APPLICATION NO.
PCT/KR2004/001874INTERNATIONAL FILING DATE
July 26, 2004PRIORITY DATE CLAIMED
July 26, 2003

TITLE OF INVENTION

NANO-PARTICLES COMPRISING CUCURBITURIL DERIVATIVES, PHARMACEUTICAL COMPOSITION CONTAINING THE SAME, AND PROCESS FOR THE PREPARATION THEREOF

APPLICANT(S) FOR DO/EO/US
Kimoon KIM et al.


Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

ITEMS 11. TO 20. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).

U.S. APPLICATION NO. (If known) 10/565,834	INTERNATIONAL APPLICATION NO. PCT/KR2004/001874	ATTORNEY DOCKET NO. 1751-396
20. <input type="checkbox"/> Other items or information: <input type="checkbox"/> RO/101 <input type="checkbox"/> RO/109 <input type="checkbox"/> ISA/210(ISR) <input type="checkbox"/> ISA/220 <input type="checkbox"/> Written Opinion <input type="checkbox"/> IB/301 <input type="checkbox"/> IB/304 <input type="checkbox"/> IB/308 <input type="checkbox"/> IB 332 <input type="checkbox"/> IB/409(IPER) <input type="checkbox"/> IB/416 <input type="checkbox"/> Published Application WO 2005/010004 A1		
21. The following fees are submitted: <input type="checkbox"/> Basic National Fee \$300.00	CALCULATIONS \$	PTO USE ONLY
22. <input type="checkbox"/> Examination Fee If the written opinion prepared by ISA/US or the IPER prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 All other situations \$200.00	\$	
23. <input type="checkbox"/> Search Fee If the written opinion of the ISA/US or the IPER prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Search Authority \$100.00 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB \$400.00 All other situations..... \$500.00	\$	
TOTAL OF 21, 22 AND 23 =		\$
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250.00 for each additional 50 sheets of paper or fraction thereof.	\$	
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof
- 100 =	/ 50 =	x 250
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(h)).		\$
Claims	Number Filed	Number Extra
Total Claims	12 -20 =	0
Independent Claims	1- 3 =	0
Multiple dependent claim(s) (if applicable)		+ \$360.00
TOTAL OF ABOVE CALCULATIONS =		\$
<input checked="" type="checkbox"/> Applicant claims small entity status. The fees indicated above are reduced by 1/2.		\$
SUBTOTAL =		\$
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).		+
TOTAL NATIONAL FEE =		\$
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property		+
TOTAL FEES ENCLOSED =		\$
		Amount to be refunded
		Amount to be charged

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<p>a. <input type="checkbox"/> A check in the amount of \$_____ to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. 02-2135 in the amount of \$_____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 02-2135. A duplicate copy of this sheet is enclosed.</p> <p>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</p> <p>SEND ALL CORRESPONDENCE TO:</p> <p>Customer No. 06449</p> <p>Barbara Webb Walker Rothwell, Figg, Ernst & Manbeck 1425 K St., N.W. Washington, D.C. 20005 Phone: 202/783-6040</p> <p> Signature</p> <p><u>Barbara Webb Walker</u> Name</p> <p><u>35,4000</u> Registration Number</p>		

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No. : 10/565,834
Applicant : Kimoon KIM et al.
Filed : January 25, 2006
TC/A.U. :
Examiner :

Docket No. : 1751-396
Customer No. : 06449
Confirmation No. : 7491

INFORMATION DISCLOSURE STATEMENT

Director of the United States Patent
and Trademark Office
P.O. Box 1450
Alexandria, Virginia 22313-1450

Dear Sir:

Under the provisions of 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicants submit herewith information that the Office may wish to consider in examination of the subject application. Materials submitted for consideration are listed on the attached form PTO-1449.

A concise statement of the relevance of Behrend et al., "Ueber Condensationsproducte aus Glycoluril und Formaldehyd," Justus Liebig's Ann. Chem., 339, 1905, pp. 1-37, which is a German language publication, is found at paragraph [0007] of the application.

Respectfully submitted,

By Barbara Webb Walker
Barbara Webb Walker
Attorney for Applicants
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT				<i>Complete if Known</i>	
				Application Number	10/565,834'
				Filing Date	January 25, 2006
				First Named Inventor	Kimoon KIM et al.
				Group Art Unit	
				Examiner Name	
				Confirmation No.	7491
Sheet	1	of	2	Attorney Docket Number	1751-396

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	T ⁶
		Office ³ Code	Number ⁴	Kind ⁵ (if known)			
		DE	196 03 377	A1	Deutsches Textilforschungszentrum Nord- West e.V.	08-07-1997	Ab
		KR	1020040072810	A	Postech Foundation	08-19-2004	Ab
		WO	00/68232	A1	Unisearch Limited	11-16-2000	
		WO	02/096553	A2	Syntec Gesellschaft fur Chemie und Technologie der...	12-05-2002	Ab
		WO	03/004500	A1	Postech Foundation	01-16-2003	
		WO	03/024978	A1	Postech Foundation	03-27-2003	
		WO	03/055888	A1	Postech Foundation	07-10-2003	
Examiner Signature					Date Considered		

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code. ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language translation is attached. AB indicates that only an English language abstract is attached.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT				<i>Complete if Known</i>	
				Application Number	10/565,834
				Filing Date	January 25, 2006
				First Named Inventor	Kimoon KIM et al.
				Group Art Unit	
				Examiner Name	
				Confirmation No.	7491
Sheet	2	of	2	Attorney Docket Number	1751-396

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		FREEMAN, W.A., et al., "Cucurbituril", J. Am. Chem. Soc., 103, 1981, pp. 7367-7368	
		KIM, J., et al., "New Cucurbituril Homologues: Syntheses, Isolation, Characterization, and X-ray Crystal Structures...", J. Am. Chem. Soc., 122, 2000, pp. 540-541	
		ISOBE, H., et al., "Ternary Complexes Between DNA, Polyamine, and Cucurbituril: A Modular Approach to DNA-Binding Molecules", Angew. Chem. Int. Ed., 39, 2000, pp. 4257-4260	
		LEE, J.W., et al., "Novel Pseudorotaxane-Terminated Dendrimers: Supramolecular Modification of Dendrimer Periphery", Angew. Chem. Int. Ed., 40, No. 4, 2001, pp. 746-749	
		FLINN, A., et al., "Decamethylcucurbit[5]uril", Angew. Chem. Int. Ed., 31, 1992, pp. 1475-1477	
		BEHREND, R. et al., "Ueber Condensationsproducte aus Glycoluril und Formaldehyd", Justus Liebig's Ann. Chem., 339, 1905, pp. 1-37	
Examiner Signature			Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.